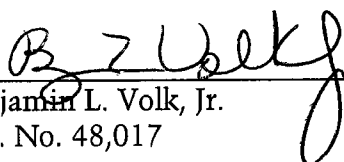


IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

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I hereby certify that this document is being electronically filed with the U.S. Patent and Trademark Office via the EFS Web on July 27, 2010.



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Reg. No. 48,017

In re application of:
Tully et al.

Serial No.: 10/692,067

Filed: October 22, 2003

For: System and Method for the Automated
Brokerage of Financial Instruments

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Examiner: Johnson, Gregory L.

Group Art Unit: 3691

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Amendment and Response with Request for Continued Examination (RCE):

In response to the Office Action dated October 28, 2009 and a Notice of Appeal filed April 27, 2010 and following Applicant's interview with the Examiner on July 8, 2010, Applicant submits the following amendment and remarks. A petition for an extension of time and the appropriate fee are included herewith.

Amendments to the Claims are reflected in the listing of claims which begins on page 2 of this paper.

Remarks begin on page 13 of this paper.